

# Finals Process for Let Project Closeout

Project Administration Tools

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## BACKGROUND

The Wisconsin Department of Transportation (WisDOT), Division of Transportation Systems Development (DTSD) contracted the University of Wisconsin-Madison, Department of Engineering Professional Development (UW-EPD) to facilitate six work groups and two lean project teams using lean and six sigma tools and techniques to plan, design, develop and advance process improvements to achieve the six-month lead time goal for closing out regional and local program projects.

The work groups and lean project team's composition were multiregional with expertise related to the work group or lean topic being addressed. They included representatives of DTSD staff and construction contractors. Using AASHTOWare Project (AWP) Construction, the work groups and the lean project teams developed this user guide to provide step-by-step guidance for staff involved in the Final Process for Let Project Closeout.

Overall success of the Let project closeout effort will be an increase in the number of regional and local program projects that closeout within six months.

## PROCESS DEFINITION

The Finals Process includes the process steps required to close out a construction contract within 6 months, beginning when the department determines that work under the contract is Substantially Complete and ending on the date the department approves the Final Estimate for payment.

## ROLES AND RESPONSIBILITIES

**The owner of the Finals Process is the PDS Chief. The responsibilities of the Process Owner include:**

- Responsible for end-to-end process performance for all project closeout timelines and encourage continuous improvement.
  - Reviews region project closeout performance on a monthly basis. Follow up with the Process Lead and when necessary the project teams (including all section's team members) on projects that are at risk of not meeting the closeout timelines.
  - Allocates the resources to meet project closeout goals.
  - Communicates with the other regional sections the expectations in meeting the closeout goals.
  - Provides annual region updates to management and staff on let project closeout results.
  - Ensures that overall closeout timeline goals are attained and sustained by the department.

**The lead for the Finals Process is the Contract Specialist. The responsibilities of the Process Lead include:**

- Monitors the status of region closeout process and communicates that status to the Process Owner and project team. Works with the program control unit in monitoring the effectiveness of the closeout process.
  - Promotes the flow of information, records, and paperwork in meeting closeout timeline goals.

- Reviews “Construction Status and Finals Report” on a weekly basis for project milestones and follows up with the project managers on projects at risk of not meeting timeline goals.
- Informs the appropriate project team members when the time goal of any major process step within the closeout process is in jeopardy of not being met.
- Notify the Process Owner on recurring issues and make recommendations to help streamline and improve the closeout process.
- Works with the program control unit to keep region closeout guidance documentation up-to-date and formally/informally train project staff in the closeout process.

**The following individuals participate in the Finals Process for Let Project Closeout and have Roles, Responsibilities, and Tasks as described.**

**Role = Contract Specialist (CS) – Process Lead – Monitors the status of all region projects within the closeout process and communicates that status to the Process Owner and project team. Ensures that information in the closeout process is accurate.**

Responsibilities/Tasks:

- Will notify closeout team members project is starting project closeout process after being notified by the Project Engineer (*note: process is being automated*).
- Work with Project Engineer/Project Manager to enter late reason codes into in AWP Construction on the Contract Remarks Agency View.
- Communicate with closeout team members and other WISDOT staff the status of all projects in the closeout process using AWP Construction and the Construction Finals Status Report.
- Work with Supervisor/Project Manager to determine what type of acceptance and issue acceptance letter, track and distribute.
- Receive construction records, track and distribute required documents (including but not limited to explanation of variation/performance measure reports/as-built plan) from the Project Engineer.
- Work with Project Manager/Supervisor/Records Reviewer to complete office review.
- Compile all documents (The reports from AWP Construction; Explanation of Variation, Statement of Contract Time, filing or sending what is included in the “Final Records”) contained in the Semi-Final Estimate.
- Monitor and update fields in AWP Construction.
- Reduce retainer after receiving direction from the Project Manager.
- Prepare and distributes Completion Certificate.
- Send reminder letter to Contractor if semi-final is past 30 Calendar Days.
- Inform Project Engineer/Project Manager Final Estimate is ready to send.

**Role = Project Engineer (PE) – responsible for success of their individual project. Completes many of the individual tasks in closing out projects. This requires significant coordination with closeout team members.**

Responsibilities/Tasks:

- Create Punch List and distribute to Contractor; when complete, enter “Punch List Complete” date in AWP Construction.

- Consult with the Project Manager to determine the Actual Completion (Time Charges Stop Date) when the contract is substantially complete) and enter date in AWP Construction.
- Complete performance measure reports within AWP Construction including the Contract Project Design Evaluation (DQI) for each project and a Contractor Evaluation for the prime contractor and each subcontractor.
- Collect, compile and organize records.
- Consult with Project Manager in determining “All Contract Work Complete” and enter date in AWP Construction.
- Submit completed records, forms, and required reports.
- Works with records and materials reviewers to resolve issues.
- Resolve remaining materials issues with Contractor.
- Sign the materials certification ([DT1310](#)) or verify that the WisDOT Project Materials Coordinator signs it prior to handing the final materials documentation to the review team.
- Coordinate with the Compliance Specialist on the progress of the Payroll Clear Date.
- Resolve records and quantity issues once the final review is complete by the records reviewer.
- If needed, make updates to records, reports, or forms and update AWP Construction.
- Create and approve Semi-Final Estimate in AWP Construction. A system generated email message will inform the Project Manager that the estimate is ready for review.
- Resolve Semi-Final Estimate issues with the prime Contractor.
- Enter Final Estimate information in AWP Construction and inform the Project Manager.

**Role = Project Manager (PM) – Responsible for overall success of their multiple projects; let through Final Estimate. Monitor their team’s project’s closeout by communicating with all closeout team members. Help resolve significant closeout issues with the closeout team members. Work with the supervisor in making sure there are adequate resources to meet timeline goals.**

Responsibilities/Tasks:

- Approve/resolve contract changes (can be related to material or other issues).
- Request Contract Specialist to compose Final Acceptance letter.
- Review and sign required closeout documents including performance measures.
- Review, sign and return Final Acceptance letter to Contract Specialist.
- Complete or delegate finals check and review.
- Sign materials certification ([DT1310](#)) once finals materials review is completed (Last to sign [DT1310](#)).
- Review and approve Semi-Final Estimate. A system generated email message will inform the Contract Specialist and Project Engineer once approved.
- If contractor requests that a portion of the retainer be released, verify materials review is complete and no payroll issues to resolve, then verify with the Project Manager/Supervisor and then notify Contract Specialist to reduce the retainer.
- Review and approve Final Estimate. A system generated email message will inform the Contract Specialist and Project Engineer once approved.
- Set up meeting/teleconference throughout the finals process to discuss the current project close-out status.

**Role = Contractor – responsible for communication with the project engineer and ensuring final documentation/information is provided in timely manner**

Responsibilities/Tasks:

- Submit any missing records to Project Engineer upon request.
- Submit report of TrANS graduate and apprentices that worked on the project to Project Engineer/Labor Compliance Specialist for processing.
- Verify/Resolve Quantity Issues.
- Work with Labor Compliance Specialist on outstanding payroll/wage issues.
- Reconcile data in CRCS on a weekly basis.
- Review, resolve, sign and return semi-final within 30 Calendar Days.
- Complete Design Quality Index (DQI) with the Project Engineer.
- Complete review ([DT2509](#)) of DOT staff or send the region written notice they will not be completing the form.
- Participate in project meetings/teleconference during the finals process to discuss project close-out status.

**Role = OBOEC Compliance Specialist (OCS) – Responsible for monitoring contractor payrolls for adherence to prevailing wage regulations as defined in the contract.**

Responsibilities/Tasks:

- Continue to monitor CRCS for missing payrolls/unconfirmed payments and once issues resolved, verify against project diary, and certify payrolls.
- Verify DBE commitments versus payments when required and report issues to Project Engineer/Project Manager.
- Verify TrANS graduate and apprentice hours of On the Job Training on ASP1 – TrANS projects and provide Project Engineer with eligible participant reimbursement amounts reported on a TrANS Graduate Payroll Report.
- Notify Project Engineer/Project Manager/Contract Specialist of Payroll, Labor, or Payment Issues that would require withholding estimates and inform Project Engineer/Project Manager/Contract Specialist when issues resolved and estimates can be released.
- Enter late finals reason codes and finals remarks in AWP Construction when payroll issues delay closeout process.
- Complete final payroll audit and enter Payroll Clear Date into AWP Construction. A system generated email message will inform the Contract Specialist/Project Engineer/Project Manager/Contractor this is complete.
- Submit all payroll files to Contract Specialist. Record Payroll Clear Date on payroll file and distinguish between on-system and local program projects.

**Role = Materials Engineer/Specialist – Responsible for reviewing both the Contractor Project Materials Coordinator and the WisDOT Project Materials Coordinator to ensure that they adhere to the contract materials documentation and testing requirements.**

Responsibilities/Tasks:

- Enter date in [Materials Tracking System](#) (MTS) that Materials Records have been submitted for materials review.
- Review final Materials Records which includes:
  - Last verification that the materials meet specifications, approved lists, certifications; pass testing requirements, etc.
  - Confirm that material test records have been printed and “verified” for MTS.

- Ensure that contractor has entered required test data and Project Engineer has reviewed test data in MRS.
- Resolve any issues and/or missing documentation with the Project Engineer.
- Notify Contract Specialist to enter Late Finals reason codes and finals remarks in AWP Construction when material issues delay closeout process.
- Ensure materials certification ([DT1310](#)) is signed by Project Engineer or WisDOT Project Materials Coordinator and entered in MTS.
- Sign materials certification ([DT1310](#)) once final materials review is complete and send to Project Manager for final signature.
- Enter date in MTS that Materials Records have been reviewed.

**Role = Records Reviewer - Responsible for the review of Contract Items and quantities for accuracy with contract requirements and ensure all documentation is included in the project finals.**

Responsibilities/Tasks:

- Spot check project records/and specific Contract Items that are predetermined by the Project Manager or supervisor.
- Create list of issues with records.
- Work with Project Engineer to resolve issues.
- Notify Contract Specialist/Project Engineer/Project Manager when review is complete.

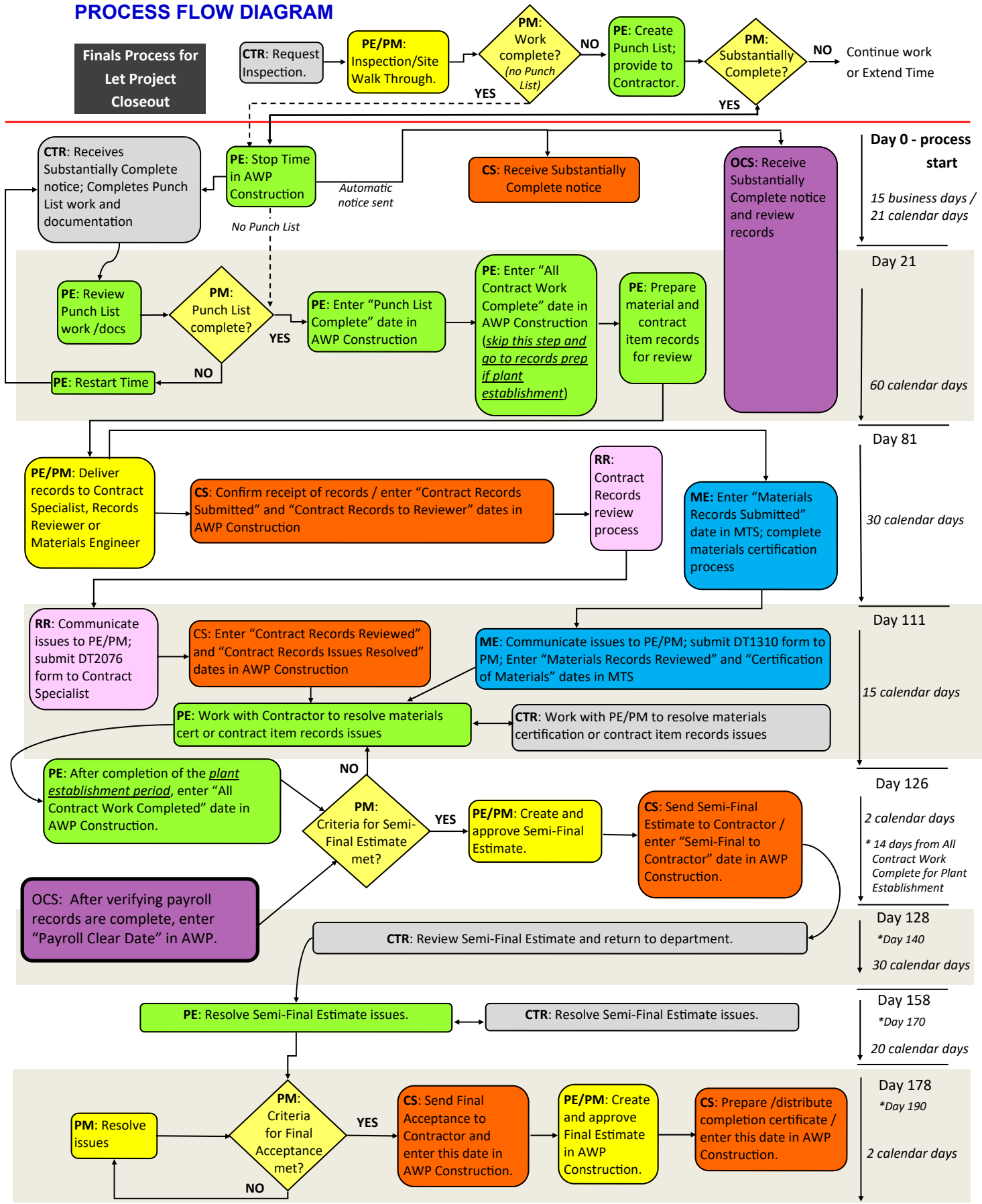
**Role = Program Controls unit (as applicable) – This is a resource in some regions to monitor trends in the closeout process and suggest areas of improvement to the Process Owner.**

Responsibilities/Tasks:

- Develop and distribute closeout reports (Construction Finals Tracking Report which reflect where each project is in the closeout process).
- Work and coordinate with Process Owner and Process Lead to interpret data and to monitor trends.
- Provide specific information and analysis for closeout team members when necessary.
- Program control engineers will work with the Contract Specialist in training and monitoring the closeout process in the regions.

**PROCESS FLOW DIAGRAM**

**Finals Process for Let Project Closeout**



**Day 0 - process start**  
 15 business days / 21 calendar days  
 Day 21  
 60 calendar days  
 Day 81  
 30 calendar days  
 Day 111  
 15 calendar days  
 Day 126  
 2 calendar days  
 \* 14 days from All Contract Work Complete for Plant Establishment  
 Day 128  
 \*Day 140  
 30 calendar days  
 Day 158  
 \*Day 170  
 20 calendar days  
 Day 178  
 \*Day 190  
 2 calendar days  
**Day 180 Process ends**

- Project Manager (PM)
- Contract Specialist (CS)
- Materials Engineer (ME)
- Contractor (CTR)
- Project Engineer (PE)
- OBOEC Compliance Specialist (OCS)
- Records Reviewer (RR)

\*Day 192 for projects with plant establishment



## GLOSSARY

Term	Definition
AASHTOWare Project Construction	AASHTOWare Project Construction is a web-based system used to administer construction contracts. This includes the entry of daily work reports (DWRs) and diaries plus the entry of change orders and payment estimates. Also referred to as AWP Construction.
All Contract Work Complete	The date that all Punch List items and contract work are completed in the field, the last Inspection is passed and all required contractual documentation submitted.
Business Day	Every day the calendar shows, except Saturdays, Sundays, and department-specified holidays.
Calendar Day	Every day the calendar shows, including Saturdays, Sundays, and department-specified holidays.
Certification of Materials	Signed document ( <a href="#">DT1310</a> ) stating that all the materials in the contract either meet specifications or exceptions to specifications are explained.
Civil Rights Compliance System (CRCS)	The Department's web-based software application used for labor and Disadvantaged Business Enterprise (DBE) compliance, and first tier and DBE subcontractor payments tracking. This system is used to submit Certified Weekly Payrolls electronically as required by Additional Special Provision 9 (ASP 9); track 1st tier and DBE subcontractor payments as required by Additional Special Provision 7 (ASP 7) and is designed to fulfill and streamline various federal and state reporting and monitoring requirements.
Completion Certificate	This form is printed within AWP Construction at the completion of the contract to release the contract bond.
Completion Date	The calendar date shown in the proposal on or before which the work included in the contract shall be completed.
Contract Items	All bid items of work in the original contract and those added by a contract change order.
Contract Records	All records generated or required during the duration of the contract. See Final Construction Project Record Checklist form <a href="#">DT2075</a> .
Contract Records Reviewed	The date when the regional staff completes the review of completed Contract Item records.
Contract Records Submitted	The date that the engineer submits Final Records to contract specialist from the field.
Final Acceptance	Final Acceptance is granted when all contract work is satisfactorily completed, all Contract Records have been reviewed and approved, and upon the return date of Semi-Final Estimate from the contractor.
Final Estimate	Final payment made between the department and the contractor, of final contract work and final Contract Item quantities, releasing all remaining Retainage.

Term	Definition
Final Records	Documents that are identified as a part of the finals process as designated on the standard checklist <a href="#">DT2075</a> .
Final Records Submitted	The date that the engineer submits Final Records to contract specialist from the field.
Inspection	Engineer's review of contract work and decision to categorize it as one of the following: <ol style="list-style-type: none"> <li>1. Unacceptable or not complete.</li> <li>2. Substantially Complete.</li> <li>3. All Contract Work has been satisfactorily completed.</li> </ol>
Material Records	All materials records and documentation required by the contract.
Material Records Submitted	The date that all Materials Records are submitted to the materials reviewer.
Materials Certificate of Compliance	A document, provided by a manufacturer, producer, or supplier of a product to WisDOT by the contractor, stating that the product as furnished to the contractor complies with the pertinent specifications and contract requirements.
Materials Records Reviewed	The date that the Materials Records review is completed by materials reviewer.
Partial Acceptance	Partial Acceptance is granted when a portion of the work under the contract has been completed and accepted. Partial Acceptance relieves the contractor of maintenance responsibility for the designated portion of the work under the contract.
Payroll Clear Date	The date upon which all certified payroll reports have been submitted and accepted and labor compliance issues including formal wage complaints have been resolved.
Process Lead	Person who monitors the status of the Finals Process for Let Project Closeout and communicates that status to the Process Owner and project team.
Process Owner	Person responsible for end-to-end process performance for all project closeout timelines and encourage continuous improvement in the Finals Process for Let Project Closeout.
Project	The designated physical area together with improvements to be constructed under the contract.
Proving Period	The period of time that a Contract Item is subjected to environmental conditions for evaluation of the performance according to the standards of acceptance.
Punch List	Document listing required contract documentation, minor corrective work, and clean-up work that is to be completed in order a project to receive Final Acceptance.

Term	Definition
Retainage	Portion of the contract payment withheld by the department from progress payment estimates.
Semi-Final Estimate	An estimate indicating the engineer has measured and reported all contract quantities and materials requirements.
Semi-Final from Contractor	The date which the department received the signed Semi-Final Estimate from the contractor.
Semi-Final to Contractor	The date when the region sent the Semi-Final Estimate to the contractor.
Substantially Complete	Substantially Complete is granted when the contractor has made the facility available for use by the general public and completed Contract Items and change order work, except Punch List items, plant establishment, and required documentation. This is the start of the Finals Process for Let Project Closeout.
Time Charges Stopped	The date when the engineer declares work under the contract is Substantially Complete.
Work	The furnishing of all labor, materials, equipment, and incidentals and the performing of all tasks needed to complete the project or a specific part of the project as specified in the contract, together with fulfillment of all associated obligations and duties required under the contract.
Working day	A Calendar Day, except Saturdays, Sundays, department-specified holidays, and the period from November 16 to March 31, both dates inclusive, on which weather or other conditions not under the control of the contractor will allow construction operations to proceed for at least 8 hours of the day with the normal working force engaged in performing the controlling item of work which would be in progress at this time.

## PROCESS STEPS

Prior to beginning the Finals Process for Let Project Closeout, it should be noted that a claim may be submitted by the Contractor at any time during a project. If a claim has been submitted, the claim should be entered into AWP Construction. Depending on the nature of the situation, an unresolved claim may delay the Finals Process.

The Finals Process as described in this document should be followed for all Let projects including those projects with items that have an associated proving period [[standard spec 646.3.1.6](#)]. A slight variation in the process for projects with a plant establishment period is articulated in this document [[standard spec 632.3.18](#)].

### 1. Inspection / Punch List

The contractor notifies the Project Engineer that the work under the contract is presumptively complete. The Project Manager and Project Engineer jointly conduct an Inspection (site walk through) of the contract work. Upon Inspection, the Project Manager will categorize the work as one of the following [[standard spec 105.11.2.1](#)]:

- 1) Unacceptable or not complete.
- 2) Complete except for Punch List (see Punch List below).
- 3) Complete and no Punch List work is required.

If the department determines that the work is unacceptable or not complete, the Project Engineer should take one of the following actions with the approval of the Project Manager:

- A. Direct the contractor to continue work on the project in order to complete all work or remedy unacceptable work.
- B. If there is no time left under the contract and if the department determines that liquidated damages are not going to be assessed, write a change order to extend time.

#### Punch List [15 Business Days]

The Project Engineer creates a Punch List for the contractor if the contract work is complete except for the following:

- Minor corrective work.
- Cleanup of the job site.
- Any documents required under the contract that are due and have not been submitted.

The contractor must complete Punch List work within 5 Business Days of receipt of the Punch List and submit required documentation within 15 Business Days of receipt the Punch List. While not encouraged, it is possible for the Punch List deadlines to be extended by mutual agreement between the Project Manager and the contractor [[standard spec 105.11.2.1.3](#)].

During the initial inspection/site walk through, if the Project Engineer verifies all contract work is complete and there are no punch list items, the Project Engineer should enter the date of the inspection in the AWP Construction “Punch List Complete” date field on the Contract Status Dates Agency View.

## **2. Substantially Complete / Actual Completion (Time Charges Stop Date)**

Substantially Complete status is granted in order to stop contract time charges to the contractor and to begin the Finals Process for Let Project Closeout [[standard spec 105.11.2.1.3](#)].

For projects with Contract Items that involve a proving period, the start of the Finals Process should not be delayed in order to reach the end of a proving period. The Project Engineer and the Project Manager should grant Substantially Complete status if the above criteria are met even if the proving period is not complete for some items. Issues with Contract Items that involve proving periods should be dealt with as outlined in the contract [[standard spec 646.3.1.6](#)].

After the Project Engineer, in consultation with the Project Manager, determines that the work under the contract has met the criteria for Substantially Complete status, the Project Engineer:

- Provides a copy of the Punch List to the contractor.
- Enters the “Time Charges Stopped” date in AWP Construction.

Based on the entry of “Time Charges Stopped” in AWP Construction, the system will send an email message to the Contract Specialist, Labor Compliance Specialist, Project Manager, Project Engineer, and Contractor.

- Project Engineer and Contractor discuss Post Construction meeting schedule.

## **3. All Contract Work Complete**

The Project Engineer enters the “All Contract Work Complete” date into AWP Construction on the Contract Status Dates Agency View. For projects with plant establishment periods, the “All Contract Work Complete” date is entered after the plant establishment period is complete and the work has been inspected. Staff should continue the next step in the Finals Process.

## **4. Preparation of Material and Contract Records for Review**

[81 Calendar Days from entry of Actual Completion (Time Charges Stop Date)]

The Project Engineer has 81 Calendar Days from the entry of the Actual Completion (Time Charges Stop Date) in which to prepare the Material and Contract Records for review. Final Records that should be gathered for review are designated on the Final Construction Project Record Checklist form [DT2075](#).

Upon completion of records preparation, the Project Engineer submits the Contract Item and Materials Records to the Contract Specialist. The Contract Specialist confirms that the records on the standard checklist are received and enters the “Contract Records Submitted” date in AWP Construction on the Contract Status Dates Agency View.

## 5. Certification of Materials Process

[30 Calendar Days from receipt of records]

Following confirmation that all materials records have been received, the Contract Specialist distributes Materials Records to the Materials Engineer/Specialist in the regional office. Upon receipt of the Materials Records, the Materials Engineer/Specialist enters the “Materials Records Submitted” date in the [Materials Tracking System](#) (MTS). The Material Engineer/Specialist verifies that all certified Materials Records have been submitted and are acceptable and that any materials compliance or testing issues are resolved [[CMM 845](#)].

Materials certification issues must be identified by the Materials Engineer/Specialist and communicated to the Project Manager, Project Engineer and Contractor.

## 6. Contract Items Review Process

[30 Calendar Days from receipt of records]

Following confirmation that all records pertaining to Contract Items on the Final Construction Project Record Checklist form [DT2075](#) have been received, the Contract Specialist distributes the records to the Records Reviewer in the regional office and enters the “Contract Records to Reviewer” date in AWP Construction on the Contract Status Dates Agency View and the name of the records reviewer in the “Reviewed By” field.

The Records Reviewer reviews the records of the project generated or required during the duration of the contract and completes the Contract Items Review form [DT2076](#). Issues or problems with the records must be identified by the Records Reviewer and communicated to the Project Engineer.

When the review is complete, the Records Reviewer submits the completed form to the Contract Specialist who enters the “Contract Records Reviewed” date in AWP Construction on the Contract Status Dates Agency View.

## 7. Materials and Contract Records Issue Resolution

[15 Calendar Days from completion of review]

The Project Engineer and Contractor have 15 Calendar Days from the completion of the materials records and Contract Item records reviews to resolve issues identified during the records reviews.

The Project Engineer notifies the Records Reviewer, Materials Engineer/Specialist, and Contract Specialist once the issues have been resolved. The Contract Specialist enters the date upon which all Contract Records issues are resolved in the “Contract Records Issues Resolved” field in AWP Construction on the Contract Status Dates Agency View. Upon resolution of any issues with materials records, the Project Manager signs the Certification of Materials form [DT1310](#) and the Materials Engineer/Specialist enters the “Certification of Materials” date into MTS. This date will appear automatically in AWP Construction on the Contract Status Dates Agency View.

## 8. Payroll Clear Process

[begins at Substantially Complete; ends before Final Estimate]

The Payroll Clear Process begins upon notification that the work under the contract is Substantially Complete. The process is carried out by the Labor Compliance Specialist in parallel with other activities in the finals process for construction contract closeout. The Labor Compliance Specialist verifies that all certified payroll reports have been submitted and are acceptable and that any labor compliance issues (including formal wage complaint) are resolved in order to issue the Payroll Clear date (see [Appendix A](#)). The Labor Compliance Specialist enters the "Payroll Clear" date in AWP Construction on the Contract Status Dates Agency View.

Payroll issues identified as part of the Payroll Clear process must be communicated to the Project Engineer, Project Manager and contractor prior to issuing the Semi-Final Estimate.

The Payroll Clear Process must be complete with an issued Payroll Clear Date before the Final Estimate is sent to the contractor.

## 9. All Contract Work Complete for Projects with Plant Establishment Periods

When the plant establishment period is complete and the work has been inspected, the Project Engineer enters the "All Contract Work Complete" date in AWP Construction on the Contract Status Dates Agency View.

## 10. Semi-Final Estimate

[within 2 Calendar Days of completion of Materials and Contract Records issue resolution or within 14 days of All Contract Work Complete for projects with Contract Items associated with plant establishment periods]

The Semi-Final Estimate serves to notify the contractor that the engineer has measured and reported all contract quantities and materials requirements [[CMM 236.1.3](#)]. In general, the Project Manager can approve Semi-Final Estimate notice if:

- 1) The Certification of Materials process is complete.
- 2) The review of Contract Item records process is complete.
- 3) Any issues related to the Payroll Clear process have been communicated to the Project Manager and Contractor.

If the above conditions are met, the Project Manager directs the Project Engineer to create the Semi-Final Estimate. The Project Engineer creates and approves the Semi-Final Estimate in AWP Construction. The Project Manager reviews and approves the Semi-Final Estimate and a system generated email notice notifies the Contract Specialist. The Contract Specialist sends an email with the Semi-Final Estimate and other required reports to the Contractor. The Contract Specialist enters the "Semi-Final to Contactor" date in in AWP Construction on the Contract Status Dates Agency View.

Ideally, all contract issues should be resolved before the Semi-Final Estimate is issued; however, at the discretion of the Project Manager, the Semi-Final Estimate can be issued with unresolved issues.

## 11. Contractor Review of Semi-Final Estimate

[30 Calendar Days]

The Contractor has 30 Calendar Days in which to review the Semi-Final Estimate and return it to the department. Fifteen Calendar Days after the “Semi-Final to Contractor” date is entered, an automatic email is sent to the Contract Specialist, Project Manager, and Project Engineer indicating that the Contractor has 15 Calendar Days remaining in which to return the Semi-Final Estimate. Upon receipt of the Semi-Final Estimate or if the 30-Calendar Day deadline is not met, the Contract Specialist should confirm with the Project Engineer and Project Manager that the project is ready for Final Acceptance. While not encouraged, it is possible for the Project Manager and the Contractor to mutually agree to extend this 30-Calendar Day submission requirement [[standard spec 109.7](#)].

## 12. Semi-Final Estimate Issue Resolution

[20 Calendar Days from return of Semi-Final Estimate to the department]

The Project Engineer and Contractor will work to resolve any issues related to the Semi-Final Estimate. This should be complete within 20 Calendar Days of the Contractor returning the Semi-Final Estimate to the department. Following notification from the Project Engineer, the Contract Specialist enters the date upon which all Semi-Final Estimate issues are resolved in the “Semi-Final Issues Resolved” field in AWP Construction on the Contract Status Dates Agency View.

## 13. Final Acceptance

[within 2 days of Semi-Final Estimate Issue Resolution]

Final Acceptance of the project can be issued when the following conditions are met [[standard spec 105.11.2.3](#)]:

- 1) The Project Engineer and Contractor have successfully resolved any issues or problems with the Semi-Final Estimate identified by the Contractor.
- 2) The materials certification process is complete.
- 3) The records review process is complete.
- 4) The WPDES Notice of Termination has been granted, if applicable.
- 5) The Payroll Clear Date has been issued.
- 6) The contractor has provided written certification that subcontractors at all tiers have been paid in full for acceptably completed work and that no retainage is being withheld.

The Contract Specialist notifies the Project Engineer and Project Manager that the project is ready for Final Acceptance. If the Project Engineer and Project Manager concur, then the Contract Specialist enters the “Final Acceptance” date in AWP Construction on the Contract Status Dates Agency View. The Contract Specialist prepares and sends the Final Acceptance letter to the Contractor and enters the “Final Acceptance to Contractor” date in AWP Construction on the Contract Status Dates Agency View.

For projects with Contract Items that involve a proving period, Final Acceptance should not be delayed in order to reach the end of a proving period. Final Acceptance should be granted if the above criteria



are met even if the proving period is not complete for some items. Issues with Contract Items that involve proving periods should be dealt with as outlined in the contract [[standard spec 646.3.3.4](#)].

#### **14. Final Estimate Approved**

[within 2 days of Semi-Final Estimate Issue Resolution]

The last step in the Finals Process for Construction Contract Closeout is to prepare and approve the Final Estimate which confirms final completed contract work, final Contract Item quantities, and releases all Retainage.

After the Project Manager has granted Final Acceptance, the Project Manager contacts the Contract Specialist to ensure the contract is ready for final estimate. If the contract is ready, the Project Manager directs the Project Engineer to create the Final Estimate. The Project Engineer creates and approves the Final Estimate in AWP Construction. The Project Manager reviews and approves the Final Estimate and notifies the Contract Specialist. The Contract Specialist prepares and distributes the Completion Certificate to the bonding company, project files, and FHWA (for federal oversight contracts only). The Contract Specialist enters the "Completion Certificate" date in AWP Construction on the Contract Status Dates Agency View.

## APPENDIX A: PAYROLL CLEAR DATE PROCESS

When work under the contract is Substantially Complete and as part of the Finals Process, the Region Labor Compliance Specialist (LCS) will issue a Payroll Clear Date and enter the date in AWP Construction on the Contract Status Dates Agency View after the following conditions are met:

- Certified Payroll Reports have been entered and approved in the [Civil Rights Compliance System \(CRCS\)](#) for the Prime Contractor and all Subcontractors performing prevailing wage work on the project.
- All labor compliance issues, including formal wage complaints, have been resolved.
- All Prime Contractor, First Tier Subcontractors and DBE payments are entered and confirmed in CRCS as required by [Additional Special Provision 7 \(ASP 7\)](#) Reporting 1st tier and DBE Payments During Construction.
- All TrANS Graduate and TrANS Graduate Apprentice hours reported in CRCS on the TRANS Grad Payroll Report are confirmed and the information provided to the Project Engineer for payment under the ASP.1TOG and ASP.1TOA bid items.